

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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	:	
UNITED STATES OF AMERICA	:	<u>NOLLE PROSEQUI</u>
	:	
- v. -	:	18 Cr. 911 (JPO)
	:	
CENTRAL STATES CAPITAL MARKETS	:	
LLC,	:	
	:	
Defendant.	:	
	:	
- - - - -	-x	

1. The filing of this *nolle prosequi* will dispose of this case with respect to defendant CENTRAL STATES CAPITAL MARKETS, LLC.

2. On December 19, 2018, Felony Information 18 Cr. 911 (JPO) (the "Information") was filed, charging defendant CENTRAL STATES CAPITAL MARKETS, LLC, in one count with willfully failing to file a Suspicious Activity Report, in violation of Title 31, United States Code, Sections 5318 and 5322, and Title 31, Code of Federal Regulations, Section 1020.320.

3. In connection with the filing of the Information, the defendant and the Government presented to the Court a Deferred Prosecution Agreement executed by both parties on or about December 10, 2018 (the "Agreement"). Pursuant to the Agreement, prosecution on the Information was to be deferred for a period of two years, and the Government would move to dismiss

the Information within 30 days of the completion of the deferred prosecution period, as long as defendant CENTRAL STATES CAPITAL MARKETS, LLC, complied with its obligations under the Agreement. On December 19, 2018, the Court excluded time under the Speedy Trial Act until December 19, 2020.

4. The Government has determined that defendant CENTRAL STATES CAPITAL MARKETS, LLC, has complied with its obligations under the Agreement during the deferred prosecution period, and, therefore, will not now proceed with the prosecution of CENTRAL STATES CAPITAL MARKETS, LLC.

5. In light of the foregoing, I recommend that an order of *nolle prosequi* be filed as to defendant CENTRAL STATES CAPITAL MARKETS, LLC, with respect to Indictment 18 Cr. 911 (JPO).




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Andrew C. Adams  
Assistant United States Attorney

Dated: New York, New York  
January 4, 2021

Upon the foregoing recommendation, I hereby direct, with leave of the Court, that an order of *nolle prosequi* be filed as to defendant CENTRAL STATES CAPITAL MARKETS, LLC, with respect to Information 18 Cr. 911 (JPO).



AUDREY STRAUSS  
Acting United States Attorney  
Southern District of New York

Dated: New York, New York  
January 4, 2021

SO ORDERED:

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HON. J. PAUL OETKEN  
United States District Judge  
Southern District of New York

Dated: New York, New York  
, 2021